

06-11-01

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Docket No: 23424-016

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NEW UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Docket No.

23424-016

Total pages in this
submission**TO THE ASSISTANT COMMISSIONER FOR PATENTS****Box Patent Application
Washington, D.C. 20231**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD AND SYSTEM FOR ENABLING COLLABORATION BETWEEN
ADVISORS AND CLIENTS**

And invented by:

PAUL H. ROBB**IF A CONTINUATION APPLICATION**, check appropriate box and supply requisite information:☐

Continuation

☐

Divisional

☒

Continuation-in-part (CIP) of prior application No.: 09/732,008

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 84 pages(s) and including the following:
 - a. ☒ Descriptive title of the invention
 - b. ☒ Cross references to related applications (if applicable)
 - c. ☐ Statement regarding Federally-sponsored research/development (if applicable)
 - d. ☐ Reference to microfiche appendix (if applicable)
 - e. ☒ Background of the invention
 - f. ☒ Brief summary of the invention
 - g. ☒ Brief description of the drawings (if drawings filed)
 - h. ☒ Detailed description
 - i. ☒ Claims as classified below
 - j. ☒ Abstract of the disclosure

Application Elements (continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 U.S.C. 113)
☒ Formal ☐ Informal Number of sheets: 43
4. ☒ Oath or Declaration
a. ☒ Newly executed (original or copy) ☐ Unexecuted
b. ☐ Copy from a prior application (37 C.F.R. 1.63(d) (for continuation/divisional applications only)
c. ☒ With Power of Attorney ☐ Without Power of Attorney
5. ☐ Incorporation by reference (usable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is
6. ☐ Computer program in microfiche
7. ☐ Genetic sequence submission (if applicable, all must be included)
a. ☐ Paper copy
b. ☐ Computer readable copy
c. ☐ Statement verifying identical paper and computer readable copies

Accompanying Application

8. ☒ Assignment papers (cover sheet & document(s))
9. ☐ 37 C.F.R. 3.73(b) statement (when there is an assignee)
10. ☐ English translation document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☐ Certified copy of priority document(s) (if foreign priority is claimed)
15. ☒ Certificate of Mailing
☐ First Class ☒ Express Mail (Label No.: EL708406672US)
16. ☒ Small Entity Status Claimed _____

11/09/2023 10:00:00 AM

Accompanying Application (continued)

- 17.
- ☒
- Additional enclosures (please identify below):

Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
Application Data Sheet

Fee Calculation and Transmittal

The filing fee for this utility patent application is calculated and transmitted as follows:

☐ Large Entity☒ Small Entity

<u>CLAIMS AS FILED</u>					
For	# Filed	# Allowed	# Extra	Rate	Fee
Total Claims	56	- 20 =	36	x \$9.00	\$324.00
Independent Claims	4	- 3 =	1	x \$40.00	\$40.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					
Other Fees (specify purpose): Recordation of Assignment					\$40.00
BASIC FEE					\$355.00
TOTAL FILING FEE					\$759.00

☒ Check in the amount of \$759.00 to cover the total filing fee are enclosed.

☐ The Commissioner is hereby authorized to charge and Deposit Account No. 50-1553 as described

☐ Charge the amount of _____ as filing fee.

☐ Credit any overpayment.

☐ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant


Brian S. Rosenbloom, Attorney Reg. No. 41,276

Dated: June 8, 2001

MINTZ LEVIN COHN FERRIS GLOVSKY AND POPEO PC
11911 Freedom Drive, Suite 400
Reston, Virginia 20190
Tel.: 703-464-4810; Fax: 703-464-4895

U.S. Patent and Trademark Office; U S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Paul H. Robb
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Title	Method and System for Enabling Collaboration Between Advisors and Clients
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Atty Docket Number	23424-016
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I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

June 8, 2001

Date _____

Ben Rother

Signature

Brian S. Rosenbloom

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**